# Headquarters Individual Development Planning Guide



March 1999

#### Foreword

The U.S. Department of Energy faces mission and management challenges that call for a new responsiveness to employee development that supports organizational priorities and facilitates professional growth. Decreasing resources during a time of increasing mission priorities is one of the challenges that require us to better assess the skills needed to do our work and to develop our capabilities in ways that meet increased customer expectations. It is my hope that all managers and supervisors will be fully responsive to this challenge and place a high priority on ensuring that the training and developmental activities of all employees are carefully planned and aligned with the mission and needs of their organization.

This Guide is designed to lead supervisors and employees through the individual development planning process. Individual development planning is a collaborative process between employees and their supervisors. This process is designed to assess the needs of both the organization and employees, and focus on building skills that support the accomplishment of our important mission. All of us bring unique talents to the Department, and the individual development planning process should reflect that diversity.

Rick Farrell, Director Office of Management and Administration

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#### What is an Individual Development Plan?

Ensures there is an alignment between skills the organization needs for success, and the competencies that employees possess and/or are needed

Outlines developmental objectives along with activities to achieve the objectives

Opportunity for supervisors and employees to identify training and developmental needs in order to ensure job and organizational success The Individual Development Planning Process provides an opportunity for supervisors and employees to identify training and developmental needs in order to ensure job and organizational success. An individual development plan (IDP) is a written schedule or plan designed to meet particular goals for development that are aligned with the organization's strategic plan and action plan. To achieve these goals, you must possess or develop specific competencies. The development of an IDP, which outlines developmental objectives along with activities to achieve the objectives, will help one to acquire or enhance competencies. Rather than haphazardly chancing time and money on what may or may not be a useful learning experience, the IDP process helps ensure that employees at all levels and the organization have the competency mix necessary to achieve its mission while affording employees an opportunity to develop skills.

In accordance with existing requirements of DOE Order 360.1 (5/31/95), an supervisors are required to ensure that employees are provided the opportunity to have an IDP. This is particularly important for new employees and employees that have moved into a new position or have new duties. Supervisors and employees need to review and revise, as appropriate, IDPs annually to ensure that the training plan benefits the mission and the employee development objectives. (The Order is currently being revised to reflect that all employees be provided the opportunity to complete an IDP.) At Headquarters, these same requirements are also spelled out and emphasized for bargaining unit employees by a Memorandum of Understanding between management and the exclusive representative of Headquarters bargaining unit employees, the National Treasury Employees Union (NTEU).

The IDP and skills needs assessment processes are inherently connected to, and should be completed in conjunction with, an employee's annual performance appraisal and development of new performance standards and elements. In conformance to both the Order and the Headquarters/NTEU collective bargaining agreement, these processes must be completed no later than March 15th each year.

The IDP is realistic and "real time" because it is based on the mission of the organization. Once strategic plans have been developed, action plans established and performance plans put in place, supervisors and employees should identify "performance priorities". The performance priorities become the basis for the IDP.

IDPs are used to plan developmental experiences (details, course work, special projects, on-the-job training, etc.) which may change from year to year as the mission of the organization evolves. Its primary purpose is to ensure that there is an alignment between the skills the organization needs for

Opportunity for supervisor and employees to discuss career development and organizational needs success and the competencies that employees possess and/or are needed to support organizational goals and priorities. The skills needs assessments are a critical focus in the IDP process.

An IDP is not a binding contract. While every effort should be made by both employees and supervisors to adhere to the plan, circumstances sometimes arise that require modifying the IDP. Completing an IDP does not imply promotion; it is intended to address developmental needs and facilitate growth while preparing the organization for future challenges. This guide was prepared to explain IDPs: how to prepare them, how to use them, and what to expect from them.

#### Benefits

- 1. If organizations are serious about career development, developing a plan of action will help ensure success.
- 2. Chance for supervisors and employees to work out plans for achieving goals that relate to employee and organizational needs.
- 3. A tool for supervisors and employees to communicate and reach agreement on goals and developmental needs. Supervisors may not know the interests of employees.
- 4. An opportunity to acquire information on where skills fit into an organization's current needs and future needs; to obtain a better understanding of organizational career opportunities.
- 5. Employees need another perspective on how their skills, abilities, strengths, and developmental needs are viewed.

The IDP process is part of the total organizational planning cycle. Strategic plans focusing on the broad, high-level goals of the organization are first established. Action plans with milestones are then developed to ensure that the strategic goals will be achieved. Managers and supervisors are responsible for achieving the milestones identified in the action plans. Therefore, work must be aligned with the action plans and performance priorities that are identified by supervisors. Also, managers and supervisors must ensure that employees possess the competencies (knowledges, skills, abilities) to achieve the stated goals. The end result is the development of an IDP that rests heavily on an assessment of skills needed by the employee to address organizational and employee developmental needs.

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#### Alignment

broad, high-level goals of the organization

→ Strategic Plans

ensures strategic goals will be achieved

Action Plans

tasks and projects that must be completed for organizational success

→ Performance Priorities

competencies (knowledges, skills, and abilities) that are needed to achieve organizational performance priorities → Skills Needs Assessment

ensures alignment between skills the organization needs for success and the competencies employees possess and/or need

Individual
Development
Plans

#### **Self Assessment**

In preparation for the individual development planning process, realistic training and developmental goals that support organizational needs and skill needs of employees must be decided. This can be achieved through a self-assessment that provides the foundation for future discussions between supervisors and employees. The self-assessment can be accomplished by asking the following questions. These questions focus on work currently being performed and the work that must be done to achieve goals that support organizational and employee needs.

Do not write down all the following questions or show them to anyone. Before starting, review and reflect on position description and past performance appraisals.

- 1. What assignments did I like doing last year?
- 2. What assignments did I not like?
- 3. In what areas of my job do I excel? At what work in general do I excel?
- 4. What areas do I need to improve or develop? Do these areas hinder my ability to do a good job?

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- 5. What kinds of assignments would I like to have this year including different or new work? STATE YOUR IMMEDIATE SHORT-RANGE GOAL(S).
- 6. What work would I not like to be assigned to this year, if possible?
- 7. What skills or knowledges are necessary to do the work I'd like to do? Is there someone I can ask?
- 8. Do I have these skills/knowledges already? How strong -- or do I need to develop or strengthen these skills/knowledges?
- 9. What kinds of training or experience would I need to develop in these areas? How extensive would the training have to be?
- 10. Is it feasible for me to develop these skills? GO BACK TO QUESTION #5. Look at your short-range goal. Are they realistic and attainable?
- 11. Keeping in mind my strengths (#3) and areas I need to improve or develop (#4), job opportunities in my organization, and the work I like, STATE YOUR LONG-RANGE GOAL(S) (2-5 years).
- 12. What skills/knowledges are necessary to do the work defined in my long-range goal(s)?
- 13. Which of these skills/knowledges do I already have? What would I consider my level of competence to be?
- 14. What kinds of training/experience do I need to develop these skills? How much? How long will it take?
- 15. Is it feasible for me to develop these skills? GO BACK TO #12. LOOK AT YOUR LONG-RANGE GOAL(S). ARE THEY REALISTIC? PLAN A COURSE OF ACTION.

These questions should be referred to whenever preparing an IDP. The planning will help assure that the developmental efforts will be worthwhile to the organization and its employees.





# Individual Development Planning Process Overview

The IDP process is a six-step process that involves continuous two-way communications between supervisors and employees.

Step One: Identify Performance Priorities

Step Two: Determine Skills Needs Assessment/Developmental Objectives

Step Three: Explore Development Options and Select Activities

Supervisor's Preparation for DiscussionEmployee's Preparation for Discussion

Step Four: Hold Development Discussion with Supervisor

Step Five: Take Action

Step Six: Monitor Progress



#### Step One: **Identify Performance Priorities**

The first step is to identify performance priorities. Performance priorities are the tasks and projects that must be completed in order for the organization to achieve its action plans and operating requirements. Performance priorities are job goals. Performance priorities define success and reveal the bottom line for measuring individual contribution to organizational goals. Performance priorities are *not* performance standards. While there may be some overlap between the two, in general, performance standards indicate

**how** work will be done and may not necessarily change from year-to-year. Performance priorities focus on *what* is expected to be accomplished.

Tasks & projects that must be completed for organizational success

Three to five performance priorities should be established by supervisors with employees. The performance priorities must be a reflection of organizational strategic plans, action plans, and day-to-day operational needs.

#### Sample Performance Priorities:

Job goals

Maintain Office Director's calendar and schedule

What is expected to be Establish and maintain filing system

accomplished

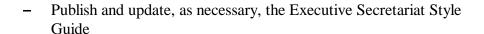
Represent Office on Departmental committee to implement new computer system

Reveal the bottom line for measuring individual contribution to organizational goals.

- Manage Headquarters Performance Rating Cycle
- Provide guidance and assistance on a full range of Human Resource related issues to assigned organization(s)
- Implement recruitment and staff activities for a wide range of positions
- Provide technical knowledge and skills related to wireless telecommunications
- Process requests for user IDs and passwords on Headquarters administrative computer systems
- Implement computer security controls







- Track White House correspondence through the Document Online Coordination System
- Provide safety and health training
- Maintain heat and air-conditioning systems
- Manage the Department's library services
- Sort, distribute, deliver, collect, and process all incoming, outgoing, and internal mail
- Manage, coordinate, and track Procurement Operations procurement documentation
- Provide information and training for credit card users
- Advise small and disadvantaged and women-owned businesses in procurement procedures



# SEE PAGE 17 (SAMPLE FORM - ATTACHMENT 1) PERFORMANCE PRIORITY WORKSHEET

SEE PAGE 18 (BLANK FORM - ATTACHMENT 2)
SUPERVISORS AND EMPLOYEES
SHOULD DISCUSS AND COMPLETE
THE PERFORMANCE PRIORITY WORKSHEET



Step Two: Determine Skills Needs Assessment/ Developmental Objectives Once performance priorities have been established, a skills needs assessment and developmental objectives need to be determined. The skills needs assessment is a process to identify the competencies employees must possess in order to achieve organizational performance priorities. Competencies include knowledges, skills, and abilities. Also, the job and the standards for doing the job, job description, and performance appraisal should be considered. Generally, knowledge pertains to mastery of a subject matter area; a skill pertains to physical competencies or physically doing something; and ability pertains to the potential of using a knowledge or skill where needed. Competencies are related to tasks. Developmental objectives are statements that outline those competencies that will be addressed in the IDP.

is a process to identify knowledges, skills, and abilities employees must possess to achieve organizational performance priorities

The skills needs assessment and the developmental objectives are identified through a collaborative effort between supervisors and employees.

For example, the Office Director's Secretary has the following *performance* priority:

Maintain Office Director's calendar and schedule

The *skills needs assessment* reveals that the secretary needs the following *competencies*:



Knowledge of computerized calendar system Understanding of Office Director's priorities Ability to perform multiple computer skills

Based on the skills needs assessment, a developmental objective might be:

Develop in-depth knowledge of the CaLANdar system



SEE PAGE 19 (SAMPLE FORM - ATTACHMENT 3)
INDIVIDUAL SKILLS NEEDS ASSESSMENT
AND INDIVIDUAL DEVELOPMENT PLAN

SEE PAGE 21 (BLANK FORM - ATTACHMENT 4)
INDIVIDUAL SKILLS NEEDS ASSESSMENT
AND INDIVIDUAL DEVELOPMENT PLAN

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It is important to note that not all competencies identified in the skills needs assessment need to be translated into developmental objectives for the IDP. In the sample above, this secretary has been working for the Office Director for several years and understands his or her priorities. However, the office has just recently installed a new computer software package, CaLANdar, that he or she has never used before. In order to successfully achieve the performance priority, he or she needs to develop that new competency.

Step Three: Explore Development Options and Select Activities There are many different types of developmental activities; formal training is only one option and many times is not the best option. The following is a list of various types of developmental options. It is not all-inclusive.

*On-the-Job Training* - Structured training in which learning objectives are achieved while in the work environment and while completing work tasks.

Classroom Training - Structured formal instruction presented in a classroom environment by a qualified instructor.

*Self-Study Courses* - Courses you complete at your own pace. May or may not be completed during the regular work day.

After-Hours Courses - Generally college-level courses taken outside the normal work day.

*Shadowing* - Opportunity to observe individual who has demonstrated successful work strategies.

Discussions with Subject Matter Experts - Structured question and answer session with subject matter expert. May be used to explore career opportunities or to learn specific tasks.

Rotational Assignments - Short-term work assignments appropriate for the important skills identified in the developmental objective. This may be accomplished through a formal detail.

Developmental Assignments - Work assignments that challenge the employee to develop and use new competencies within the current position.

*Reading* - Selected books and articles to increase understanding of a specific topic.

*Development of Job Aids* - Development of job aids to assist in the training of other employees. First learn the task completely before attempting to teach other employees.

Participation on Task Force Committee or Team - Short- or long-term assignment that affords the opportunity to develop new skills.

When selecting a developmental activity, the following criteria may help identify the best activity for your specific needs.

Will the activity contribute to the developmental objective? How?

What are the direct and indirect costs associated with the activity?

Is the developmental activity easily available?

When preparing developmental objectives, it is important that they be realistic and attainable. Goals should imply some work and challenge, they should be set high, but not so high that achieving them will be almost impossible.

The following are some factors affecting the feasibility of achieving goals that should be considered:

- 1. *Other commitments* Current work schedule, family, hobbies, community obligations, etc.
- 2. *Previous learning experiences* Different people learn under different situations. Consider the types of learning experience that were most beneficial. Also, consider the topics of study most enjoyed.
- 3. *Desire to achieve the goal* Goals don't have to be lofty. That can lead to disappointment. Strive for attainable goals.
- 4. *Knowledge of the organization* Find out about forecasted staffing needs, expected vacancies and reorganizations, and what skills the organization will be needing. This is very important. Supervisors may be an excellent source for this information. Also, read the organization's strategic plans, read the employee newsletters, listen to what is being said at staff meetings. All of these are sources of organizational information.



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- 5. Honest self-appraisal Use feedback from supervisors, peers, and career counselors to develop a realistic picture of strengths and areas for development. Goals should play up strengths. If weak in one or more of the critical competency areas critical to reaching goals, the following question should be asked, "How feasible is it to develop these skills to the point of reaching the goal?"
- 6. *Resources needed* How much time and money are necessary to achieve the goal, both personal and organizational?

By assessing abilities, how much work is involved, the attainability of a particular goal, and a willingness to take on the work, identified goals are more likely to be achieved. Setting realistic goals may initially take some time and effort, but it will be worth it in the long run. All good planning strategies start with defining the end goals.

#### **Supervisor's Preparation for Discussion**

- 1. In preparation for discussion, reflect back to Step One Identify Performance Priorities and Step Two Determine Skills Needs Assessment/Developmental Objectives. Consider the job and the standards for doing the job, particularly the job description and performance appraisal. Consider the knowledges, skills, and abilities most necessary for performing the job well.
- 2. Consider organization's needs over the next several years to include strategic plans, mission changes, changes in technology, expected turnover, staffing needs, program plans, and future needs for particular skills.
- 3. After projecting needs, consider potential to meet the needs. This assessment should focus on indicators of potential such as educational pursuits, self-study, formalized training, developmental assignments, special assignments, and membership on teams/task forces.
- 4. Project short- and long-term goals and rough ideas of training and experience aimed at the knowledges, skills, and abilities to achieve these goals.





#### Supervisor-Employee Discussion

The discussion is an opportunity for the supervisor and employee to review plans for achieving goals while considering career goals and the organization's particular needs. As a result of the discussion, supervisors and employees will develop an IDP.

#### **Employee's Preparation for Discussion**

This discussion should be informal and frank. Come to the meeting with rough ideas about the IDP after having completed Step One - Identify Performance Priorities and Step Two - Determine Skills Needs Assessment/ Developmental Objectives. If it looks like participation in one of the developmental activities or training courses is impossible, supervisors can explain the reasons. One of the advantages of the discussion is to find out about what activities can be supported by the organization and what constraints management is under from budget, policy, or time standpoints. This information is needed in order to develop a practical and feasible plan.



Be prepared to support identified developmental activities, especially those activities that are not related to performance priorities. Ask "how will the organization benefit from this developmental activity?"

The supervisor should not be expected to answer all questions. The supervisor may have to go to higher levels to get information, especially about future organizational changes and needs. The meeting does not have to resolve all issues. Questions about qualification requirements, classification, position duties and responsibilities can be answered by the personnel office.

The IDP discussion is not a performance appraisal. Discussion about strengths and developmental needs are an important part of the IDP planning process. Developmental needs are isolated simply to see where gaps exist and where developmental activities may help to achieve goals. Performance appraisals focus on the past while IDPs focus on the future. Remember, IDPs do not imply always rising in the organization, just as career development does not always mean a promotion.

IDPs foster developing as much as possible in current work or future work. That development should be the topic of discussion.

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Step Four:
Hold
Development
Discussion
with
Supervisor

Preparing an IDP is the foundation of a career partnership between supervisors and employees. There will be questions throughout the process; however, once the IDP is completed, a more formal development discussion should occur. The objective of the development discussion is to gain support for a plan of action and to modify the IDP as necessary.

A meeting should be scheduled in a neutral place such as a conference room to discuss the IDP. Stay focused in the meeting and stay focused on the task at hand - discussing career development and agreeing on a plan of action.

Supervisors and employees should be in agreement regarding performance priorities. However, support for identified developmental activities relative to talents and career goals, does not require total agreement.

As previously stated, be prepared to discuss the developmental activities, especially those activities that are not related to performance priorities. Ask "how will the organization benefit from this developmental activity?"

Actively listen, ask questions, clarify for understanding. Be flexible and open to new ideas. Supervisors may have a broader view of what is happening in the organization and may make suggestions that will be beneficial.

SEE PAGE 19 (SAMPLE FORM - ATTACHMENT 3) INDIVIDUAL SKILLS NEEDS ASSESSMENT AND INDIVIDUAL DEVELOPMENT PLAN

SEE PAGE 21 (BLANK FORM - ATTACHMENT 4)
INDIVIDUAL SKILLS NEEDS ASSESSMENT
AND INDIVIDUAL DEVELOPMENT PLAN



Step Five: Take Action



Once supervisors and employees agree on the IDP, by signing the form, the foundation for a career development partnership is established. You are now ready to take action and complete the activities that were agreed to. For formal training, Training Coordinators/Managers should be consulted about enrolling in the courses. If developmental assignments are to be completed, an action plan must be developed. Follow through and locate the resources that are needed to read a book and complete self-study. Circumstances may require that adjustments be made such as workloads. Try to stay on track even though circumstances may arise that require making adjustments to the plan.

Step Six: Monitor Progress The IDP process is an on-going, continuous process of growth and development. The IDP should be periodically reassessed to determine its effectiveness in terms of objectives, developmental activities, and the need to update. At a minimum, an IDP should be reviewed semi-annually.

Frequently
Asked
Questions
About
Individual
Development
Plans

#### Question

I am interested in attending a one-day seminar I just found out about. It is not in my IDP. Can I still go?

#### Answer

The IDP attempts to identify all your developmental activities, but sometimes other options become available after you have prepared your IDP. So, the fact that the seminar is not identified on your IDP does not necessarily mean you cannot attend. After getting your supervisor's support for the seminar, check with your Training Coordinator/Manager.

#### Question

I am satisfied with my current job, and I am not interested in moving into any other position. What can an IDP do for me?

#### Answer

Because "development" does not just mean moving up or into another job, the IDP can be concerned with your growth in your current job - mastery of skills or learning different facets of the job. Employees planning to stay in their current jobs still must work at keeping skills current, remaining productive, and being successful. Quite a few jobs will not look the same in two years. Requirements are constantly changing, and it is critical to be current, if not ahead of the change.

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#### **Question**

I am not interested in career development now. Can I decide not to prepare an IDP this year?

#### **Answer**

DOE Order 360.1 specifically requires that IDPs be established for all Federal employees with some exceptions. Therefore, supervisors must provide employees the opportunity to have a new or revised IDP in place each year. Organizations are expected to work with employees to develop IDPs that address mission-related needs as well as employee development objectives. You can say "no" and the supervisor can agree. You and your supervisor should sign the IDP form to show that you were provided an opportunity to complete an IDP.

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#### **Ouestion**

I will be retiring next year, how would I benefit from having an IDP?

#### Answer

There are a number of benefits that could derive from having an IDP in place even though you do not plan to continue much longer in your Federal career. While the IDP can be designed to extend past a year, performance priorities are usually focused on a shorter period of time, and the IDP process provides a tool for supervisors and employees to reach agreement on goals and developmental needs in the short as well as longer term. Also, you might find it beneficial to share your knowledges and expertise with your colleagues in the form of a mentoring relationship so there might be minimal "brain drain" when you retire. You also might benefit from gaining exposure to or refreshing your skills in areas which will enhance your job proficiency while still working and which you will be able to use after retirement.

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#### Question

Where can I get more information and guidance on the IDP process?

#### Answer

The Office of Training and Human Resource Development, Jenny Hermansen, (202) 426-1530 or Jeanne Williams, (202) 426-1537.

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#### **Performance Priority Worksheet**

(To Be Completed Jointly by Supervisor and Employee)

To ensure a development plan is realistic and will be related to current position, supervisors and employees should identify and discuss three performance priorities expected to be achieved in the next six to twelve months. The priorities define success and reveal the bottom line for measuring performance. Remember, performance priorities must be a reflection of organizational strategic plans, action plans, and day-to-day operational needs. Do not include personal or developmental goals.

Date:
Employee's Name:
Supervisor's Name:
Performance Priority One:  Maintain Office Director's calendar and schedule
Performance Priority Two:  Establish and maintain filing system
Performance Priority Three:

### **SAMPLE**

Uses multiple computer skills to prepare a variety of documents

#### **Performance Priority Worksheet**

(To Be Completed Jointly by Supervisor and Employee)

To ensure a development plan is realistic and will be related to current position, supervisors and employees should identify and discuss three performance priorities expected to be achieved in the next six to twelve months. The priorities define success and reveal the bottom line for measuring performance. Remember, performance priorities must be a reflection of organizational strategic plans, action plans, and day-to-day operational needs. Do not include personal or developmental goals.

Date:		
Employee's Name:		
Supervisor's Name:		
Performance Priority One:		
Performance Priority Two:		
Performance Priority Three:		

#### U. S. Department of Energy Headquarters Individual Skills Needs Assessment and Individual Development Plan (HQ/NTEU Article 23.07.B)

Name:	Title:	Organization:	Title:	Organization:	
Knowledges/Skills/Abilities	Assessment	Developmental Objective	Developmental Activity	Start Date	End Date
Knowledge of computerized calendar system	Knowledge of system is low	Develop in-depth knowledge of the CaLANdar system	Attend DOE training courses	April 1999	April 1999
Understanding of Office Director's priorities	Excellent grasp	N/A			
Multiple computer skills	Word Perfect - very good Lotus 123 - good Power Point - fair Excel -quite limited	Expand computer knowledge and skills	Attend training courses Seek help from office subject matter experts	April 1999 Ongoing	May 1999

# **SAMPLE**

Name:	Title:	Organization:	Title:	Organization:	
Knowledges/Skills/Abilities	Assessment	Developmental Objective	Developmental Activity	Start Date	End Date
Project management	Needs strengthening	To acquire a basic foundation in project	Formal training	July 1999	July 1999
		management	Developmental assignment in office	August 1999	August 1999
			Participate on a task force or team	January 2000	December 2000
			Rotational	To be	
			assignment	determined	

Employee's Signature:	Date:
Supervisor's Signature:	Date:

#### U. S. Department of Energy Headquarters Individual Skills Needs Assessment and Individual Development Plan (HQ/NTEU Article 23.07.B)

Name:	Title:	Organization:	Title:	Organization:	
Knowledges/Skills/Abilities	Assessment	Developmental Objective	Developmental Activity	Start Date	End Date
Employoo's Signoturo		r	Date:	·	,
Employee's Signature:Supervisor's Signature:			Date: Date:		